

explanation of the circumstances leading to the shortfall, any efforts taken to minimize the shortfall or otherwise achieve cost savings, and the amount required to complete the acquisition or project as approved by the Secretary. Agencies/entities should complete and submit the IGO/Task Order Modification Request Form found in Appendix K along with a transmittal letter briefly summarizing the request. (See Section X “Request for Additional Funds from Special Account Reserve for details on request requirements.) The SNPLMA Division will review the request and, if necessary, consult with the agency/entity to provide additional information or clarification in order for Appendix K to be fully responsive. If the request is determined to be appropriate, fully responsive, and consistent with the SNPLMA policies and procedures, the SNPLMA Division will approve within their delegated authority or forward pertinent documentation to the Working Group for action or recommendation to the Executive Committee for their consideration and decision.

Requests for additional funds associated with work outside the scope of the original approved project will not be accepted. Additional funds for changes in scope (see Section X, “Requests for Change in Project Scope”) will be limited to those scope changes required to complete the project as originally described, not to increase the size, function, level of finish, etc. of a project.

#### **Requests for Special Account Reserve Funds for a New Urgent or Emergency Project**

Funds from the Special Accounts Reserves (SARs – SNPLMA and FLTFA) may also be requested to serve as a response to urgent safety issues that pose an imminent threat and require immediate remediation, and respond to unique opportunities or unanticipated circumstances that require fast action.

The SAR is not meant to circumvent the normal nomination and approval process. Federal agencies and local and regional governmental entities should recognize that new acquisitions and projects funded from the Special Accounts Reserves will not have received the same kind of consultation, coordination and collaboration that occurs as a part of the normal nomination process. Thus, every attempt should be made to use the normal nomination process where possible.

Requests for funding of new projects or acquisitions from the SARs must include all the documentation required for a nomination of any type under the normal process. In addition, the request should include a cover letter which explains the special circumstances that warrant consideration for funding from the Special Account Reserve. Requests are to be submitted to the SNPLMA Division. This office will coordinate the quick review of the SAR request by the pertinent Subgroup and the Partners Working Group. Requests that are recommended by the Working Group are then forwarded to the Executive Committee for consideration and recommendation to the Secretary for approval.

#### **XIV. PRE-PROPOSAL PLANNING RESERVE**

During each Round, the Secretary may be asked to approve a specific amount as a reserve to pay for Pre-Proposal Planning. The Pre-Proposal Planning reserve is intended to provide funds

which can be expended at the discretion of the Executive Committee during the Round in which they were approved for future projects that fit within an authorized SNPLMA category. When a new Round is approved, any funds not yet allocated or obligated from the previous Round's PPP reserve become part of the revenue available to fund the new Round as approved by the Secretary. The purpose of the Pre-Proposal Planning Reserve is:

“To fund feasibility and pre-proposal conceptual design for the purpose of developing more accurate information on the scope of work, detailed cost estimates, and time frames required to complete projects which will be nominated in FUTURE ROUNDS [emphasis added].”<sup>1</sup>

“The ability to do pre-proposal planning will help ensure projects can be completed as nominated within the budget request and help reduce the need for changes in scope [, time extensions,] and additional funds due to critical elements or costs that weren't appropriately addressed in the nomination. This reserve will be available to all expenditure categories except MSHCP and Lake Tahoe Restoration Projects which already have a detailed pre-proposal development process in place.”<sup>2</sup>

### **Process for Requesting Pre-Proposal Planning Funds**

A Request for a funds for a Pre-Proposal Planning (PPP) project may be submitted at any time following the Secretary's approval to the SNPLMA Division until the reserve is exhausted. The SNPLMA Division will review the requests and forward them to the Partners Working Group. The Partners Working Group will review the forward PPP requests, as a group, at least quarterly and make a determination for recommendation to the Executive Committee. PPP requests shall be submitted in writing to the Assistant Field Manager, BLM Las Vegas Field Office, Division of SNPLMA Acquisition, Improvement, and Conservation Programs (SNPLMA Division). Requesting agencies/entities must complete a request form (see attached) that includes:

- A. Name of Agency/Entity Making Request;
- B. Title of the Request;
- C. Point of Contact with Phone Number;
- D. Estimated Duration of the PPP planning/feasibility study;
- E. The Amount of the Request;
- F. The Appropriate Assistance Agreement Number if the Request is from a Local or Regional Governmental Entity;
- G. The Expenditure Category for which PPP funds are being requested;
- H. A Brief Description of the Project for which the Pre-Proposal Planning Funds are Requested;
- I. Description of the Planning/Feasibility Work to be Performed;
- J. Description of Need/Justification and Objectives of the Planning/Feasibility Study;
- K. Description of Deliverables/Requirements;
- L. Description of the Review and Approval Process that will be Used to Evaluate the Deliverables;

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<sup>1</sup> Excerpted from the Round 6 Final Recommendation submitted to the Secretary of the Interior dated January 25, 2006, and approved by the Secretary on February 7, 2006.

<sup>2</sup> Ibid.

- M. Whether the Project for which PPP Funds are Requested will be an Additional Phase of a Previously Approved Project; if yes, Provide the Total Funding Already Provided for, and the Status of, the Previous Phase(s); and
- N. Signature of the Appropriate Agency/Entity Management Official.

- **A completed cost estimate sheet for necessary expenses.** (See PPP Effort Estimated Necessary Expense form, Appendix J-1)
- **An 8-1/2" by 11" map showing the location of the anticipated project.** If the anticipated project for which PPP funds are being requested will be an additional phase of a previously approved project, the map should also show the location(s) of the previous phase(s) if different from the location of the anticipated project.

### **Additional Guidelines and Restrictions Regarding Pre-Proposal Planning Funds**

- The PPP reserve shall not circumvent the normal nomination and approval process for projects. PPP funds are intended, for example, to be used to conduct the work required to do pre-proposal planning for feasibility, cost estimation, conceptual design, time lines, etc. for future projects only (see appendix J-1 PPP Estimated Necessary Expense form). Inclusion of work to review the planning, design, and construction of a previous phase(s) of a multi-phased project is allowed only to the extent absolutely necessary in order to conduct valid pre-proposal planning for the anticipated project as an additional phase. If the result of the PPP initiative determines that previously approved phases of the anticipated project need to be redesigned or altered, the agency/entity should request funds for that purpose from the Special Account Reserve (SAR).
- Approval of PPP funding, or completion of the PPP effort, cannot be construed in any way as an indication that the future project nomination package, if any, will be acceptable, or, if accepted, that the nominated project would be either recommended or approved. The SNPLMA Division, the Working Group, the Executive Committee, and the Secretary are not legally, or otherwise, bound to accept, recommend, or approve any project resulting from PPP efforts.
- Approval of PPP funding does not earn additional ranking points or any kind of priority for the associated project once nominated. Each project nomination will be reviewed, scored, and ranked on its own merit.
- If the results of the PPP initiative is a decision that the anticipated project is not feasible, the agency/entity shall so advise the appropriate SNPLMA Division program manager in writing, who will forward the results through the Assistant Field Manager to the Executive Committee. There is no expectation that anticipated projects deemed to be impractical, too expensive, too time consuming, too costly to operate and/or maintain, or otherwise infeasible for any reason must be brought forward for nomination.
- Approved PPP planning/feasibility studies shall not be eligible for changes in scope or additional funding. If a requesting agency/entity determines that the original request was

inadequate to determine the feasibility, scope, cost, and timing for the associated project, a new request for additional PPP funding will have to be submitted as described above.

- Upon completion of the PPP planning/feasibility process, a findings summary will be submitted in writing to the appropriate SNPLMA Division program manager and retained in the project file in support of the reimbursements/payments made. The documentation and information required in the findings summary will be identified on a case-by-case basis in the IGO or task order and will be dependent upon the nature of the PPP planning/feasibility study.
- The findings summary and appropriate supporting documents, reports, preliminary designs, etc. shall be included as attachments to the project nomination package resulting from the PPP project, if an associated project nomination is submitted.
- Payment/Reimbursement procedures will adhere to the standard category policies and procedures as outlined in the SNPLMA Implementation Agreement.
- Quarterly written status reports will be submitted to the appropriate SNPLMA program manager for inclusion in the SNPLMA Division Quarterly Status Report for projects.
- The PPP planning/feasibility effort must be completed and all reporting documentation submitted and accepted by the SNPLMA Division before a nomination of the associated project will be accepted in a future round of SNPLMA.

### **Funding Pre-Proposal Planning Projects**

Eligible agencies/entities may request PPP reserve funds for an approved PPP project through the approved Transfer Process or request funding by reimbursement through an Inter-Governmental Order (IGO) pursuant to the Economy Act. Local and regional governmental entities may request approved PPP funds through a cooperative agreement. If funding is provided through an IGO, the agency/entity should request periodic reimbursement of necessary expenses (see Appendix J-1) at logical stages of the PPP effort by submitting a reimbursement package according to the requirements and documentation required for other types of projects as outlined in the SNPLMA Implementation Agreement.

Expenses incurred for the PPP planning/feasibility process prior to Executive Committee approval of the PPP request are not reimbursable. If the agency/entity incurs necessary expenses for the PPP planning/feasibility process following approval of the PPP request by the Executive Committee but prior to availability of funds in the SNPLMA Special Account, prior to a fully executed task order or IGO, or prior to the Transfer of approved PPP funds, those necessary expenses are still reimbursable.